

14 KAR 1:010. Statewide strategic plan for information processing.

RELATES TO: KRS 61.940, 61.945, 61.950, 61.955, 61.957

STATUTORY AUTHORITY: KRS 45.750, 61.945, 61.950

NECESSITY, FUNCTION, AND CONFORMITY: KRS 61.940 and 61.955 establish the Information Systems Commission and the Communications Advisory Council to the Kentucky Information Systems Commission to develop and implement plans for the effective and efficient use of computers, telecommunication, and information management systems in state government. KRS 61.945 makes the Kentucky Information Systems Commission responsible for the coordination of strategic planning for computerized information systems. KRS 61.955 makes the Communications Advisory Council responsible for the development and coordination of statewide communication plans for the efficient use of communications technology within state government. KRS 61.950 requires the commission to formulate a statewide information resources management plan and authorizes the commission to promulgate administrative regulations to that end. This administrative regulation establishes procedures to be followed in the formulation of a statewide information resources management plan for state government. As authorized by KRS 45.750, the amendments to this administrative regulation also define the terms "computer or telecommunications system" for the purpose of determining capital project status under KRS 45.750 to 45.810 and also reflect the extension of the commission's planning process to all forms of communications and to institutions of higher education. These amendments also change the dates associated with submission and review of plans to better coincide with the schedules of the Capital Planning Advisory Board and the biennial budget process and make other changes to bring the administrative regulations into compliance with the provisions of KRS Chapter 13A.

Section 1. Definitions. (1) "Agency" means all constitutional officers, departments, boards, councils, commissions, independent offices, institutions of higher education and other organizations within the three (3) branches of government.

(2) "Application" means a discrete automated process, consisting of interrelated computer software and communications programs that are designed to fulfill specific information management needs.

(3) "Chairman" means the chairman of the Kentucky Information Systems Commission.

(4) "Commission" means the Kentucky Information Systems Commission.

(5) "Communication costs" or "telecommunication costs" means the costs of data, voice, video, or radio transmission and associated telecommunications hardware, including modems, switches, bridges and routers.

(6) "Computer or telecommunications system" means a related group of computer or telecommunications hardware which contains:

(a) A minimal functional configuration, plus;

(b) Peripheral devices;

(c) Communications connections and wiring equipment necessary to enable the interpretability of the system components; and

(d) Workstations.

(7) "Information processing hardware" means information technology equipment designed for the automated storage, manipulation, transmission, reception and retrieval of data by electronic means, or both, and to include:

(a) Processors, including mainframe, miniprocessors and microprocessors;

(b) Auxiliary or peripheral equipment including, but not limited to data storage devices, data input devices, or data output devices;

(c) Communications equipment.

(8) "Information resources" means the equipment, software and related services that are secured and maintained by an agency to manage information including the actual information.

(9) "Information resources plan" means a plan which presents an agency's automated informational needs for at least two (2) years, and an estimate of information processing resources and funds which are necessary to support those needs.

(10) "Manager" means the information resource manager appointed by each agency.

(11) "Minimum functional configuration" means a configuration comprised of computer or telecommunications hardware to include:

(a) A main central processing unit (CPU) with minimum amount of internal memory in a minimum amount of hard disk storage;

(b) A system console composed of a monitor and keyboard;

(c) An external media device through which software can be loaded into the system, including, but not limited to a diskette drive or tape drive; and

(d) Any controllers and cabling necessary to connect and enable the components listed in this subsection.

(12) "Personnel costs" means the cost of personnel salaries, including any step increases and fringe benefits.

(13) "Statewide strategic plan" or "long-range statewide strategic plan" means a document, updated biennially, that:

(a) Examines the information systems and communication needs of state government;

(b) Recommends ways in which information and technology resources can be used to address those needs;

(c) Recommends priorities, funding mechanisms and policies to support acquisition and maintenance of those resources over time; and

(d) Establishes direction for future information resource development.

Section 2. Applicability. This administrative regulation provides for participation by all agencies within the three (3) branches of state government and the constitutional offices of state government, in the formulation of a long-range statewide information resources to be developed, published and monitored by the Kentucky Information Systems Commission. While each agency has primary responsibility for the management, planning and operation of its information resources, the commission has the responsibility to ensure that the information resource needs of the Commonwealth are considered along with, and not made subordinate to, the needs of an individual agency.

Section 3. Commission Responsibility. The commission shall determine the information resource needs of state government based upon:

(1) The agency information resources plans;

(2) The priorities of the governor and the legislature; and

(3) The recommendations received from organizations and constituencies represented on the commission membership.

Section 4. Agencies to Submit Information Resources Plan. Each agency shall submit to the commission a plan which describes the ways in which the agency will deploy information resources to support the programmatic agenda and administrative functions of the organization for the two (2) upcoming fiscal biennia, in a format prescribed by the commission, no later than April 15 of the second year of the current fiscal biennium. The plan shall include at a minimum:

(1) The strategic objectives of the agency relating to information resources;

(2) The existing information resources within the agency and the costs associated with the use of these resources;

- (3) A brief description of how the existing resources are used to meet the duties and functions of the agency;
- (4) A brief description of the methodology used to evaluate both the efficiency of resource utilization and the impact of those resources;
- (5)(a) The proposed information resource projects, acquisitions, and conversions or enhancements for the upcoming fiscal biennial;
- (b) The anticipated results to be achieved by these projects, acquisitions, and conversions; and
- (c) The measurable benefits to be derived from same;
- (6) The personnel, hardware, software and services, facility resources, and other related equipment, services or resources which shall be necessary to meet the project of the agency together with the estimated cost of the resources described;
- (7) A general description of the existing physical and data security programs and future plans for assuring the security and integrity of data and information processing resources;
- (8) A description of the anticipated growth of information resources needs within the agency the four (4) years immediately following the two (2) fiscal years included in the plan, including the strategy the agency will employ to manage that growth;
- (9) A brief statement on how proposed plans will impact the overall records keeping and processing systems (manual as well as automated) of the agency, to be produced in cooperation with the agency's records officer; and
- (10) Other planning components that the commission may prescribe by administrative regulation.

Section 5. Statewide Strategic Plan Development. The commission shall:

- (1) Develop and publish instructions and guidelines no later than November 15 of every first year of the fiscal biennium, that describe the planning components, specify format, and specify the criteria upon which agency information resources plans shall be evaluated. These instructions and guidelines shall be published in the "Commonwealth of Kentucky Biennial Information Resources Planning Guidelines and Instructions for Plan Development". At a minimum, the criteria shall include:
 - (a) The technical feasibility of the plan;
 - (b) The cost estimates provided for each resource and the methodology employed by the agency to determine the cost;
 - (c) The measurable benefits to be derived by the agency and the Commonwealth as a whole;
 - (d) The extent to which the plan complies with the stated direction of the Commonwealth's Statewide Strategic Plan for Information Resources.
- (2) Review and approve or disapprove each agency plan no later than July 1 of every second year of the fiscal biennium. Upon final action the commission shall forward copies of the plan with recommendations to the Legislative Research Commission and to the Governor's Office for Policy and Management. Upon disapproval, the basis for disapproval shall be presented to the information resources manager of the agency in writing. The commission may reevaluate the plan or work with the agency to resolve the problem at its discretion;
- (3) Review and approve or disapprove changes in or supplements to the plans as they are presented by the agencies;
- (4) Identify and assess opportunities for multiagency development and use of information resources and, require agencies to include these opportunities as alternatives in their plans, if the commission determines that these opportunities will result in financial savings to the Commonwealth, or in improved services. Those opportunities for shared development and use of information resources shall include: common data bases, networking, security and disaster recovery. Opportunities for multiagency development and use of information resources shall be reported to the Legislative Research Commission in a format prescribed by the chairman.

Section 6. Supplements or Amendments to Agency Information Resource Plans. An agency may, at any time, submit to the commission for approval supplements or amendments to an information resources plan. The reasons for these supplements or amendments shall be adequately explained. An amendment to the current plan should identify the paragraphs, subparagraphs and appendices that are being amended. If the amendment is extensive, an entire revised plan shall be submitted. Amendments or supplements to the plan shall be signed as approved by agency heads or their designees. The commission may delegate to the chairman authority to certify resources as being a part of approved information resources plans, or approved amendments to those plans. The commission shall take action on each amendment, and shall document and file its action with the amendment as part of the official plan record.

Section 7. Statewide Strategic Plan and Budget Process. Beginning with the biennial budget cycle for the 1988-90 biennium, the statewide strategic plan shall be developed to assist the heads of the constitutional offices, the executive, judicial and legislative branches, and the General Assembly in preparation and enactment of the biennial budget. To this end, copies of the statewide strategic plan shall be provided by the commission to the heads of the constitutional offices, the heads of the respective branches, the heads of the respective branch budget offices, and to the Legislative Research Commission before November 15, of each second year of the fiscal biennium.

Section 8. Information Resources Manager. Each agency head, or designee, shall serve as the information resource manager and shall:

- (1) Be responsible for preparation of the agency information resources plan;
- (2) Act as liaison with the commission; and
- (3) Possess a thorough knowledge of all aspects of the agency's information resources plan.

Section 9. Capital Project. A procurement of a computer or telecommunications system shall be a capital project for purposes of KRS 45.760 to 45.810, if it meets at least one (1) of the following criteria:

- (1) The unit price for the procurement of any computer or telecommunications hardware exceed the sum of \$100,000;
- (2) The total cost of a minimum functional configuration of computer or telecommunications hardware exceeds \$100,000;
- (3) The total cost of procuring a computer or telecommunications system exceeds \$200,000.

Section 10. (1) The "Commonwealth of Kentucky Biennial Information Resources Planning Guidelines and Instructions for Plan Development (November 6, 1992)" are incorporated into this administrative regulation by reference.

(2) This publication may be inspected, obtained, or copied at the Department of Information Systems, Finance and Administration Cabinet, 101 Cold Harbor Drive, Frankfort, Kentucky 40601, between the hours of 8 a.m. to 4:30 p.m., Monday through Friday. (13 Ky.R. 557; eff. 10-2-86; Am. 19 Ky.R. 2075; 2611; eff. 6-7-93.)